

## REMARKS

Claims 1 - 37 remain active in this application. Amendment of claims 1, 17 and 28 has been requested to emphasize novel aspects of the invention. Support for the amendments of the claims is found throughout the application, particularly in Figure 14 and the description thereof on pages 14, 19 - 20, 31, 36 and 42. No new matter has been introduced into the application. The withdrawal of objections to the drawings, rejection under 35 U.S.C. §112 and rejections based on Dauerer et al., Broomhall et al. and Jacobs et al. is noted with appreciation.

Claims 1 - 37 have been rejected under 35 U.S.C. §102 as being anticipated by either Ahlberg et al. or Hayes, Jr. These grounds of rejection are respectfully traversed for the reasons of record and, particularly, as being moot in view of the above-requested amendments.

The invention, as recited in independent claims 1, 17 and 18, all the independent claims in the application, is broadly directed to an *architecture* for managing access authorizations in which alterations of users or resources may be carried out using fewer and simpler operations. This architecture provides an intermediate level between users and resources which is referred to as "profiles" which are groups of one or more resources which may be assigned to users. Each profile can be assigned to any number of users or can be uniquely established for and assigned to a single user. The profiles are established as a "list of profiles" and each profile contains at least one available resource available to the system and managed by a "list of resources". The invention also includes a "list of users" for access authorization but, unlike known access authorization systems, the user list associates one or more *profiles* with each user and the

*profiles*, each of which is defined in the claims as containing a designation of at least one resource, thus can manage user authentication and access level to the resources associated with each profile assigned to the user while an arbitrary number of profiles can be assigned to any given user such that there is no need to access resources individually (or in groups) with separate authentications. This architecture also supports the avoidance of redundancy and duplication of access authorization as well as supporting alteration of the access authorizations during addition, modification, substitution or deletion of either users or resources by simple editing of lists. Further, in large or even moderately sized systems, the number of profiles will generally be much smaller than the list of users or the list of resources. Processing or editing of changes in access authorizations is much reduced and simplified because no processing the user lists is required for changes in the list of resources (but only changes in the smaller list of profiles unless a new profile is generated that will be later associated with particular users) while no processing of either the profiles list or the resources list is required for changes in the users list and changes in the users list set in motion a series of tasks that will build accesses to individual resources. In contrast, in the prior art, the profiles, themselves, must be changed to change a user's access to resources.

In the access authorization arrangements of the prior art such as the system of Ahlberg et al. or Hayes, Jr., both of which are discussed in detail in the previous response which is hereby fully incorporated by reference, a profile is defined in conjunction with a given user. In other words, the respective profiles of the prior art including Ahlberg et al. and Hayes, Jr., contain a userID, access level and resources (and possibly other user-associated

information such as user preferences) and a profile thus defined is a "user profile", "user security profile" or "client profile management". See, for example, column 15, line 10 of Ahlberg et al. as well as all the passages noted by the Examiner in which references to "profile" are associated with specific users or customers. The same is true for Figure 24 and the passage of column 7 of Hayes, Jr., relied on by the Examiner (note also "client profile management" at column 4, lines 15 - 16; the first sentence of the summary of the invention). Moreover, the Examiner's statement of the rejections clearly indicates the association of a profile with a particular user.

Therefore, the Examiner has not demonstrated how either Ahlberg et al. or Hayes, Jr., answers the recitations of three separate lists of resources, profiles and users, each constituted as claimed, or separate steps of editing thereof. That is, the Examiner has not shown Ahlberg et al. or Hayes et al. to teach or otherwise answer the recitation of a user list *containing*, for each user, at least one profile while each profile *contains* at least one resource. Rather, the user lists of Ahlberg et al. and Hayes, Jr. are the profiles of the respective users or terminals or groups of users or terminals. Therefore, by acknowledging the formation of profiles in regard to users in the respective statements of the rejections, the Examiner has failed to make a *prima facie* demonstration of anticipation of any claim in the application and has glossed over or substantially ignored clearly recited features and basic concept of the invention in the definition and existence of profiles separate and distinct from entries in a user list as illustrated in the profile list of Figure 14 (which contains no reference to users) and referenced by the user list of Figure 13; which features and principle support the meritorious effects of the

invention.

To emphasize this distinction, amendment of claims 1, 17 and 28 has been requested to explicitly recite the independent existence of profiles and thus to emphasize the *original* claim recitation of three separate lists (and editing thereof in claims 1 and 28) of users ("containing" profiles), profiles ("containing" resources) and resources. Clearly, the Examiner's position and rationale for the respective rejections is untenable in view of this explicit recitation in all claims in the application, as well as being clearly in error in regard to the claims as finally rejected. Accordingly, it is respectfully submitted that all claims are fully and patentably distinguished from the prior art both as finally rejected and as amended as requested above. Therefore, reconsideration and withdrawal of the asserted grounds of rejection based on Ahlberg et al. or Hayes, Jr., is respectfully requested whether or not the above-requested amendment is entered.

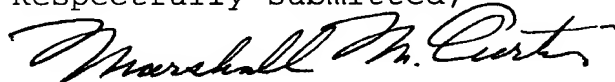
In this regard, it is also respectfully submitted that the finality of the present office action is premature and should be withdrawn to permit entry of the above-requested amendment as a matter of right. It is axiomatic that an action cannot proper be made final when no *prima facie* demonstration of the propriety of grounds of rejection asserted therein is made. In any case, it is respectfully submitted that entry of the above-requested amendments is well-justified as placing the application in *prima facie* condition for allowance. No new issue is raised since the requested amendments are limited to matters of emphasis (and improvement of form of Claim 17) particularly at the point of error in the statement of the rejections by the Examiner. Accordingly, withdrawal of the finality of the present action and entry of the above-requested amendment, whether or not the finality of the present action is

withdrawn, and allowance of the application is respectfully requested.

Since all rejections, objections and requirements contained in the outstanding official action have been fully answered and shown to be in error and/or inapplicable to the present claims, it is respectfully submitted that reconsideration is now in order under the provisions of 37 C.F.R. §1.111(b) and such reconsideration is respectfully requested. Upon reconsideration, it is also respectfully submitted that this application is in condition for allowance and such action is therefore respectfully requested.

If an extension of time is required for this response to be considered as being timely filed, a conditional petition is hereby made for such extension of time. Please charge any deficiencies in fees and credit any overpayment of fees to Deposit Account No. 09,0458 Of International Business Machines Corporation (E. Fishkill).

Respectfully submitted,



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